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ABSTRACT

In 1986, Congress passed Part H of P.L. 99-457 (the Education of the Handicapped Act) to address the educational, social, and health needs of handicapped and developmentally disabled infants and their families. Since this population's needs could not be addressed independently, each state was expected to develop collaborative organizational structures and processes through appointment of an Interagency Coordinating Council. Relatively autonomous state and local agencies were now being asked to become interdependent and establish ways to share or reallocate existing resources. The study summarized in this report examines the ability of state agencies to collaborate and factors contributing to interagency effectiveness. Over an 18-month period, 3 interagency units within a single state were examined: (1) the Interagency Coordinating Committee; (2) the Interagency Placement Committee (for coordinating placement of acutely disabled children); and (3) the Interagency Committee for Children with Special Needs. The interagency units were analyzed according to eight effectiveness factors: objectives, policies, structure, resources, loyalty, agreement, decision-making, and personnel roles. They were also ranked on a continuum of cooperation-coordination-collaboration. The first two units were judged as effectively collaborative; the third was considered dysfunctional. Findings show that collaboration is not always an appropriate interagency strategy. Other conclusions are discussed at length. (MLH)

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FACTORS THAT ENHANCE COLLABORATION AMONG EDUCATION, HEALTH AND SOCIAL SERVICE AGENCIES

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FACTORS THAT ENHANCE COLLABORATION AMONG EDUCATION HEALTH AND SOCIAL SERVICE AGENCIES

In 1986, Congress addressed the educational, social and health needs of handicapped and developmentally disabled infants from the age of 0-2 and their families with the passage of Part H of P.L. 99-457. The wording of Part H made it clear that individual states would have to devise unique and creative organizational structures and processes to deal with the needs of this population. Because it was evident to policy-makers that the health, educational and social needs of these populations could not be addressed independently, extensive interagency collaboration was required through the appointment of an Interagency Coordinating Council in each of the states.

It also became apparent very quickly that the degree of collaboration required was likely to necessitate some adjustments in the ways these individual agencies (education, health and social services) traditionally functioned and interacted at the state and local levels. In effect, these agencies which had traditionally functioned with a reasonably high degree of autonomy and independence, accompanied by constant competition for scarce resources, were now being asked to operate with greater degrees of interdependence, and also to establish ways to share and/or reallocate existing resources in order to focus on the needs of this target population. Competition for resources was to be de-emphasized; collaboration was to be emphasized.

Within the framework of initial efforts to address implementation of Part H, this study was carried out to examine a number of issues about [1] the ability of state agencies to collaborate and [2] factors that contribute to the effectiveness of interagency efforts.

DESIGN OF THE STUDY

The overall study referred to in this paper was carried out over a eighteen month period, involved extensive data gathering efforts at the state and local levels in the state under investigation and was designed to test the utility of a conceptual model which facilitates identification of those factors that enhance or impede the effectiveness of collaborative efforts within and between organizations or sub-units of larger organizations.

This paper is a report of the findings relative to what factors enable us to explain the differences in capacity of state interagency efforts to accomplish a shared objective collectively. Interagency units, as referred to in this paper, are usually committees or councils which have representatives of all agencies/constituencies affected by a specific issue. The assumption that ordinarily underlies the creation of these interagency units is that the involvement of all affected parties is likely to result in "better" solutions or increased commitment to the issues under consideration. In reality, the ability of such groups to actually devise "the best" solutions is open to question; some are better able to do so than others.

The vehicles used for consideration of these issues were three interagency units within a single state, all of which were created to deal with the needs of special populations. The three interagency units experienced differing levels of success with accomplishing their collective objectives. The committees represent over a decade of experience with interagency planning and actions in the state under study. Membership in all three interagency committees included individuals who represented the major service agencies in the state: the Education Department, the Health Department, the Department of Social Services and the Governor's Office for Children and Youth.

Brief descriptions of the three committees included in this study are presented below.

> The Interagency Coordinating Committee [ICC] was established by Executive order as a part of state planning for implementation of Part H of P.L. 99-457 in the Fall of 1987. Council members include representatives of all major state agencies and those executive units whose functions pertain to the affected population. Private service providers, advocates for the handicapped and parents of children with handicaps also hold membership on the Committee. Its function is to provide advice relative to the establishment of a comprehensive, coordinated, community-based early intervention system for infants with handicaps and their families.
>
> The Interagency Placement Committee [IPC] was established by Executive order in 1978 as a part of state implementation of P.L. 94-142 in order to provide an interagency vehicle for state agencies to agree upon the need for residential placement of acutely disabled children and to allocate "fair shares" of agency financial obligations to support those placements. Membership includes the Secretaries of the four major state agencies.
>
> The Interagency Committee For Children With Special Needs [ICCSN] was created by the chief executive officers of the major state agencies and then formally constituted by the Governor who officially aapointed the members in 1985. Its functions included eliminating duplicatiion of services for children with special needs, simplifying eligibility requirements and accessibility to services for affected populations, and the development of new interagewncy programs to support those populations where appropriate. The membership included personnel from the major state ganecies, all of whom held positions with policy-making authority.

Many of the same agencies and individuals have participated in more than one of these interagency efforts; yet they have reported differing levels of success and degrees of satisfaction with each of the committees. This case study was designed to ascertain if there were differences in the capacity of these interagency units to accomplish their objectives and to identify those factors that could explain these differences.

To that end, interviews were conducted with selected state-level personnel from health, education and social services agencies as well as other agencies in

the executive offices of the Governor. They included personnel who were members of the three committees described above as well as other state agency personnel who were involved with or affected by the operation of the committees, or who served as staff to the Committees were interviewed. The Committee members interviewed were, without exception, in positions of responsibility for policy development or analysis, program development or program coordination in their respective agencies and units.

In all, thirty-three individuals were interviewed during a six month period. The interviews lasted from one hour, fifteen minutes to two and one-half hours. Twelve of those interviewed were members of one or more of the three committees. Two of those interviewed served as executive director [staff] to two of the committees. One was the chair of one of the committees. Of the remaining eighteen, seven were involved in some way with one or more of the three committees [gathering data, assisting with policy definition, recommending implementation procedures...] and, along with the remaining eight, were responsible for programs that were likely to be affected by the decisions made within the committees. All of those interviewed were guaranteed anonymity and a standardized interview protocol was utilized. Data were recorded on the interview forms. Approximately thirty additional contacts were made with those interviewed to determine the reliability of statements and, when possible, to assess validity of specific statements. These contacts were made in person or by phone.

When possible, the researchers attended meetings of the state committees under investigation. Several types of documents were also reviewed to assess consistency with the statements of those interviewed and to provide independent sources of data confirmation. Among the documents used were the following:

State agency policies and Executive Orders, state and federal legislation, interagency plans and planning documents, descriptions of interagency programs, minutes of state interagency committees, sub-committees and task forces.

With regard to determinations of "facts" pertaining to the operation of the three committees, specific data were used only after at least two members of the committee independently provided confirmation or if information from written documents supported respondent statements. For the two committees which also had available staff [Executive Directors and supporting staff], additional confirmation was sought from those sources.

Once all the data were collected and verified, the initial report delineating the ability of state agencies to collaborate, as exemplified by the activities and outcomes of the three committees studied, was developed. This report was distributed to every person who was interviewed for review and comment. Approximately two weeks after distributing the report, all of those interviewed were invited to a meeting at which the entire report was critiqued. The meeting lasted about two hours and was characterized by spirited discussion of the interpretations of the data by the researchers.

Subsequent to this meeting the report was rewritten, with modifications or qualifications of those interpretations for which substantial data refuting initial premises were presented at the meeting. In some cases the interpretations were changed because of the strength of the arguments presented. In others, the fact that other interpretations of the data were possible was noted. The second draft of the report was distributed to all those interviewed with a letter requesting comments and suggestions within two weeks of receipt of the report.

All suggestions received were examined and, where appropriate, included in the report.

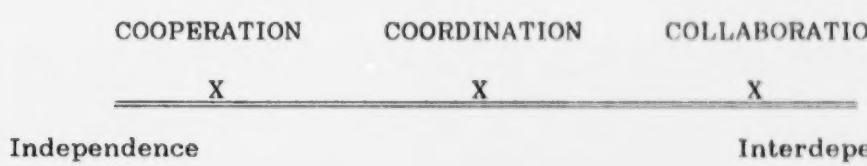
CONCEPTUAL FRAMEWORK

A previously developed framework for studying interagency initiatives, the IOR model, was used to frame the research questions which would provide information about factors that contribute to effective interagency planning and action. The IOR model includes those organizational conditions and procedures which support agency capacity to collaborate. [Additional information about this model is available upon request.]

In effect, the IOR model facilitates determination of those conditions which enable us to explain why some interagency efforts are more successful than others and, correspondingly, to predict whether or not specific interagency efforts will probably be successful. Utilization of the model requires understanding of three sets of issues: [1] the extent of interdependence required to achieve a particular interagency goal; [2] the nature of those conditions that are appropriate for different degrees of required interdependence; and [3] the relationship between and among those conditions.

Essentially, tasks assigned to interagency units can be understood in terms of the degree of interdependence required of participating agencies, as depicted in the following continuum.

Continuum of Interagency Efforts



If a group of agencies creates a committee to carry out a joint conference, the task is clearly defined, narrow in focus and relatively short-term; by and large, each agency can agree to remain relatively autonomous while working together on this relatively minor (in the scheme of things) activity. Interagency efforts of this nature require what we refer to as cooperation.

Agreement by an interagency unit to jointly support the operation of a non-profit policy research center on a continuing basis requires some additional agreements that specify each agency's responsibilities and obligations, as well as the conditions under which those obligations are in effect. With respect to the issue under consideration, a greater degree of interdependence than was the case for carrying out a conference is required. This kind of interagency activity requires a moderate amount of interdependence which we refer to as coordination.

Collaboration, on the other hand, requires extensive interdependence in order to accomplish a task that no single agency has the capacity to do alone. Creation and operation of an integrated support system to enhance quality of life for the elderly by an interagency unit is an example of a task requiring high degrees of interdependence between and among agencies. The integration of efforts provided by health, mental health, social service and education agencies is required for such an effort to be successful. Of particular importance is the need for the individual agencies to agree upon the conditions which will govern their involvement in and support for this activity.

Prior research with this model has resulted in the identification of eight conditions which enable determination of ability to function effectively as an interagency unit [whether cooperatively, coordinatively or collaboratively]. The features which characterize each condition vary with the degree of

interdependence required by the interagency objective. The eight variables include: interagency objective, policies, structure, resources, loyalty, agreement, decision-making and personnel roles. A description of the eight conditions and their features under varying degrees of interdependence is presented in the chart below.

Types of Interagency Efforts

Features	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE	narrow focus; short-term	broad focus; short or intermediate term	broad focus; long-term
POLICY	no interagency policies required	interagency policies are dictated by single agency policies	interagency policies are determined by the collaborative unit
STRUCTURE	no new interagency structure is required; agency personnel are assigned to achieve the objective	requires development of a new interagency unit; staff may be directly assigned to the new unit	requires development and maintenance of new unit; staff must be assigned directly to the new interagency unit
RESOURCES	supported with discretionary funds which remain within the control of the individual agencies	supported with dedicated funds from the individual agencies that remain within the control of individual agencies	supported by pooled resources that are largely within the control of the collaborative interagency unit
LOYALTY	no loyalty to the interagency effort is required; loyalty is to the individual agencies	primary loyalty is to the individual agencies; secondary loyalty is to the interagency effort	primary loyalty is to the interagency effort; secondary loyalty is to the individual agencies
AGREEMENT	no major single agency territorial issues arise; agreement is not an issue	disagreements about territorial issues are resolved through "majority rule" voting procedures	disagreements about territorial issues are resolved through the development of consensus
DECISION MAKING	interagency decisions are made by the single agencies; interagency needs are secondary to agency needs	interagency decisions are consistent with single agency decisions; interagency needs are secondary to single agency needs	interagency decisions are made by the collaborative unit; single agency needs secondary to interagency needs
PERSONNEL ROLES	carried out by personnel whose primary function is to represent their individual agencies' interests and who are assigned responsibility for the interagency effort on a short term basis	policy issues are decided by interagency committee members whose primary function is to represent their individual agencies' interests, but who also demonstrate commitment to the interagency objective	carried out by personnel whose primary responsibility is to accomplish the interagency objective; committee members actively protect interagency needs and concerns in their home agencies

For any given degree of interdependence, the most critical variable is specification of the objective. Once determined, this "drives" the remaining variables, establishing a need for internal consistency which supports the requirements for achieving the objective without wasting resources or necessitating inefficient behaviors. Accordingly, the greater the degree of interdependence required, the more complex and demanding the requirements of the conditions with respect to both policy and behavioral issues.

In effect, engagement in collaborative activities requires a degree of commitment and loyalty that most agency heads prefer to avoid. Moreover, they tend to engage in such activities only when there are no viable alternatives. The need is critical to establish policies which will support a long-term interagency effort without causing unnecessary friction and without leading individual agencies to try dominating the others which are involved. Creation of interagency units and hiring of staff are necessary given the complexity of the collaborative objective. Agreement to provide adequate resources that can be used flexibly by the interagency unit is an issue that also needs to be confronted. To that end, procedures and policies for resolving "turf" issues are needed in order to avoid ongoing friction and alienation. Staff to the interagency unit will occasionally find it necessary to make decisions that are objectionable to one or more of the affiliated agencies, therefore requiring the development of procedures and policies for resolving potential disagreements between and among participating agencies. Finally, the commitment of interagency unit members to the interagency unit/objective will occasionally conflict with their responsibilities in their home agencies; again, procedures for resolving such disputes need to be put in place.

If, in the process of creating a unit based on the premises which underlie highly interdependent, collaborative objectives, it is determined that such conditions are excessive or inappropriate for the task, it is quite possible that the initial identification of the objective was flawed. The most appropriate action in such cases is to ascertain whether or not the desired objective could be achieved with less interdependence [coordination or cooperation].

ANALYSIS OF THE DATA

In the three cases analyses which follow, this IOR model is used to diagnose the nature of the interagency unit objectives and those features which characterize the conditions within each interagency unit, thus facilitating understanding of the reasons for the successes and/or failures of those units. The interagency unit profiles provide a basis for observing the extent to which the features identified for each of the conditions are appropriate for the characteristics of the specified objectives.

Because of the length of the analyses of each interagency committee, detailed information is provided in this paper for only one of the committees, the ICC. Brief summaries and profiles are provided for the other two committees, the IPC and the ICCSN. Additional information about the other two committees is available upon request.

INTERAGENCY COORDINATING COUNCIL

Legislative Background

Part H of P.L. 99-457 requires that states develop comprehensive, coordinated, community-based service systems that would provide appropriate early intervention services to infants and toddlers with handicaps and their families. The legislation stipulates that each state appoint an Interagency

Coordinating Council [ICC] and designate a lead agency to be responsible for Part H planning and development activities. It is the responsibility of the lead agency working with the ICC to plan and implement an integrated service delivery system for the targeted population.

A five year planning period was established by the federal government within which states could apply for federal dollars to support planning efforts designed to accomplish this very complex mission.

Existing Programs and Services

In 1980, long before the passage of P.L. 99-457, the Department of Education passed a statute requiring the provision of educational services for children with handicaps between the ages of 0-3. As a result, a configuration of educational services is available to some extent in each of the localities involved in this study. Most Education Department personnel involved with Part H feel that the existence of this 1980 Education statute positions the state to be further along in its planning for implementation of Part H of P.L. 99-457 than those states without 0-3 Education programs.

By and large, local Health and Social Services Departments do not offer services specifically for persons with handicaps and their families. However, there are a number of programs and services available that are appropriate for, and used by some of the client population whose income levels meet agency eligibility requirements.

Administration of The Program

In this state, the Department of Education has been designated as Lead Agency. In addition, the Governor appointed an Interagency Coordinating Council in the Fall of 1987. In 1988, there were a number of changes in the administration of the Part H initiative. First, a new Governor was elected on a

platform which included streamlining the costs of operating State government. Seven out of the fifteen original members of the ICC were replaced with new appointees. Finally, the director of the Department of Education retired and a permanent replacement was not appointed until the Fall of 1989. Many persons involved with the Part H initiative in this state feel that these changes in key personnel have interfered with progress in meeting the federal planning timelines.

The ICC meets every six weeks during the academic year. Its membership includes a legislator, representatives from school systems, state agencies and executive offices, parents of children with handicaps and several external agencies with interests which center on children with handicaps. A number of ex officio representatives have also been appointed. There are no representatives from local health or social service agencies. The first ICC chairperson was a pediatrician associated with a local hospital, who has relocated to another state after holding that position for eleven months. The person who replaced him is chairman of the Department of Special Education in a major research university in the state. There are no policies that delineate length of term for an ICC Chair or the specific responsibilities attached to the position.

The work of the ICC and the Lead Agency are coordinated by an experienced Project Director and six additional professional staff members: an Information/Data Collection Specialist; a Financial Systems Analyst; a Legislative/Public Information Specialist; a Local Relations Specialist; a Planner/Policy Specialist; and a Resource Development Specialist. The Interagency Coordinating Council also created five subcommittees (Funding; Policy; Public Information; Service Delivery Systems; and Training and

Recruitment) and three task forces (At-Risk Criteria; Lead Agency; and RFP). Much of the work of the ICC is accomplished through this sub-committee process.

Examples of State Part H Planning Activities

Personnel involved with planning and implementation of Part H have worked to meet the timelines associated with legislative requirements for the five-year planning process. Their success is evidenced by the ongoing funding provided to the state by the federal funding agency.

Part H planners in the state also felt that it would not be feasible to design a single system for implementing Part H which would be suitable for use in all local jurisdictions within the state. There is considerable variance among local jurisdictions in terms of size, wealth, rate of population growth, and current availability of appropriate services for infants and toddlers with handicaps and their families. Some localities are rural in nature, while others are suburban or highly urbanized.

The point made by state planners was that no single early intervention system for Part H clients will satisfy the needs of local jurisdictions with such varied circumstances and needs. Therefore, their expectation is that local Part H planners will have numerous idiosyncratic decisions to make relative to the design of their Part H service delivery systems. Furthermore, state-level guidelines and regulations should, in their judgement, provide a framework within which those decisions will be made rather than specific prescriptions to be followed by all local jurisdictions.

Critical Incident

Personnel involved with the ICC and Part H Program were asked to identify a few events that best exemplify operations and relationships within the

interagency unit. A short description of one of those incidents is presented below.

The legislation allows for inclusion in the Part H client group of both children aged 0-2 who are experiencing developmental delays and those who are "at risk" of becoming developmentally delayed. The ICC initially ascertained that using such a broad definition would generate a burdensome client population. That is, too many clients would be attempting to receive services from a delivery system that would not have the experience or resources to handle them appropriately. Therefore. they agreed to define the client population, at least initially, as infants and toddlers with developmental delays and their families. The lead agency [Education] was particularly insistent that the more narrow definition be adopted. Because of Education's previous experience with administering the state 0-3 statute, other ICC members acquiesced to the request.

At the same time as year one and two Part H planning was evolving, the Department of Health was confronted with a substantial increase in the number of substance abuse infants and toddlers using their clinical services and enrolling in their programs. The Director of the Health Department felt that children with this problem were increasing at an alarming rate, and that they and their families needed the same type of coordinated, multi-disciplinary care as did the Part H client group. She brought the problem to the ICC, requesting that Part H services be expanded immediately to include infants and toddlers who were victims of parental substance abuse. In the meeting in which this issue was discussed, the Health Director received support from the pediatrician on the ICC as well as the Social Services Department Director and the two parent representatives.

On the other hand, the Department of Education director was opposed to expanding the client population at that time. Having just assumed office a few months before, the director preferred that the status quo be maintained until he had an opportunity to assess his overall departmental situation; he shared these thoughts with colleagues on the ICC. When other ICC members persisted in their desire to deal with substance abuse infants immediately, the Education director requested that the matter be "tabled" until the next meeting. Others called for a vote of ICC members, indicating that the majority rule procedure should be used to decide the matter. Some ICC members felt that majority agreement was not adequate to make such an important decision, and insisted that total agreement was required. At that point in time, the ICC had not established formal policies and procedures for dealing with areas of disagreement in the interagency unit. Time for the ICC meeting ran out and the ICC Chairperson "tabled" the request pending further information being provided to the Council by the lead agency and the Health Department about their respective concerns.

The next ICC meeting was not scheduled until after the "summer break." In the interim, the Education director has privately instructed the Part H Program staff to make no changes in eligibility criteria without his expressed permission. [It should be noted that Part H staff hold their positions in the Education Department which is also the lead agency.] The Health Department is continuing to work with substance abuse infants and toddlers [and their families] as though they were a single agency responsibility. The Health director indicated informally in a sub-cabinet meeting that her agency may become so involved with this ever-expanding client group that they may not have enough time or resources available to work extensively with Part H clients too.

At the next ICC meeting, members re-considered the issues surrounding the addition of substance abuse infants to the Part H client system. Many indicated that the primary needs of these children were for health services and that the Health Department was trying to foist its own responsibility on the interagency effort. Resolution of the pending problem did not seem possible at that time; no decision was made at that time. The ICC Chair suggested that a special all-day meeting be held in the near future when the Council would examine its decision-making processes and develop formal policies that would guide the ways in which disagreements between agencies involved in the ICC would be resolved. Names for an outside group facilitator were proposed, a date for the special meeting was set and the meeting adjourned.

Many ICC members described this situation as an example of the ways in which they were beginning to deal with problems related to interagency relationships during the Part H planning process. They indicated that this approach appeared to be a positive new direction for their Interagency Coordinating Council's operations.

ANALYSIS

The purpose of this analysis is to ascertain the extent to which interagency planners have established those organizational conditions and interpersonal relationships that support accomplishment of the ICC's interagency objective. Criteria for making these assessments are derived from the conceptual framework; that is, the interagency unit and its operations are examined according to the eight concepts that constitute this model. After the interagency objective is characterized as cooperative, coordinative or collaborative, issues related to the design of the interagency unit and organizational processes that guide operations in the interagency unit are

examined. A summary of the status of the eight conditions in this committee is provided at the end in a chart entitled "Profile of The ICC."

Interagency Objective

P.L. 99-457 establishes the state responsibility to develop a comprehensive early intervention service delivery system for infants and toddlers with handicaps and their families. While this state has offered educational services to children aged 0-3 with handicapping conditions since 1980, there is a need to expand the scope of services offered to these clients in order to satisfy the requirements of the new legislation. In addition, a range of services for families of these clients must also be put into place. Thus, the long-term interagency objective for Part H planners is the creation of "excellent" Part H service delivery systems in local jurisdictions.

Accomplishment of this long-term objective is occurring at both the State and the local levels in this state. The interagency objective for the ICC under study is to develop the fourteen point state-wide system defined in the legislation. It should be noted that, initially, the ICC and Part H program did not formally articulate an objectives statement to guide its interagency planning and actions. Rather, the interagency objective was implicit in its modus-operandi. Consequently, state planners noted that agencies involved with the ICC "wasted" significant amounts of time on "figuring out directions that the ICC should follow" in its early deliberations.

In effect, successful accomplishment of the Part H initiative requires that the interagency objective be stated and defined as collaborative. The interagency objective is broad and will require many years to accomplish. Client needs are complex, making Part H clearly beyond the capacity of any single agency to accomplish alone. Single agencies are limited by their own

mandates and by their capacity to influence other agencies; however, they remain involved through participation on the ICC. Therefore, both the ICC and the Lead Agency need to play key roles in planning and implementation of the Part H initiative. The length of time and complexity of the Part H objective coupled with the need for multiple agency involvement are all characteristics of collaborative interagency objectives.

Because Part H planning and actions necessarily occur at both state and local levels, an objectives statement needs to be articulated by this state that explicitly delineates the role of the state in this process. In this state, the ICC did not significantly involve local jurisdictions in the Part H planning process until the beginning of the third planning year. At the end of the second year, after new personnel were on board, the ICC/Program staff redefined the state-level interagency objective as follows:

> To establish a state-wide support system incorporating the fourteen elements required in the legislation in order to facilitate establishment of early intervention service delivery systems in local jurisdictions. In this state system, the ICC and Lead Agency will act together to ensure that the interests of all involved parties are addressed and that the emergent system has the capacity to facilitate collaborative approaches to service delivery by local service providers.

Involved parties indicate that this new interagency objective statement for the ICC/Part H Program has served to redirect the focus of planning activities at the state-level and helped involved parties to "stay on track." The objective has been formally defined as collaborative.

By agreeing to a collaborative approach in both state and local Part H planning and actions, members of the ICC have taken a position that they will work together quite interdependently. They have agreed, among other things, [1] to go beyond single agency interests and make decisions that are in the best

interests of the interagency effort, [2] to establish consensus-building processes that will guide their deliberations, [3] to develop a pool of resources dedicated to accomplishment of the interagency objective, and [4] to formulate policy statements about ICC operations and interagency relationships.

In effect, the interagency objectives statement now adopted by the ICC is long-term, complex and requires the involvement of multiple agencies at both the State and local levels. These are the characteristics of an interagency objective that can be best accomplished using a collaborative interagency effort. It is now important to examine the extent to which the ICC and Part H Program staff have established those organizational conditions and interpersonal relationships that support accomplishment of their collaborative interagency objective.

Interagency Policies

The ICC was established by Executive Order of the Governor as required by P.L. 99-457. As part of its planning activities, the ICC is currently addressing a number of policy issues which will guide its operations and interagency relationships. The Committee began fairly early to establish policy guidelines for how it would conduct its work; as indicated before, a subcommittee design was employed to break the work into manageable tasks. Subcommittees, in consultation with the full ICC, develop policy guidelines for how major dimensions of the Part H services delivery system will be configured. In effect, policy concerns for the ICC have centered around defining how the ICC would operate and to a lesser extent how single agency operations would connect to the interagency effort.

As interagency policies are established, single agencies are also reviewing their own policies. To that end, planning groups within some of the individual agencies involved with the ICC are also studying their existing

agency policies in light of the requirements of P.L. 99-457. Making ICC interagency policies compatible with single agencies' policies is characteristic of collaborative interagency efforts that work. The ICC in this state has dedicated some of its planning time to delineation of policy guidelines [1] that regulate the conditions for distribution of funds; [2] that will guide interagency interactions in local jurisdictions; [3] that delineate common approaches to be used by single agencies in client identification and assessment; and [4] that define agency eligibility for state and federal support of services.

While the ICC has spent considerable time in developing interagency policies that deal with management of the Part H enterprise, they have not developed formal policy statements that address issues related to interagency relationships. Indeed, the absence of such policies has proved dysfunctional in many instances, including the situation about expanding the definition of the client population described above. Collaboration cannot be accomplished unless such relational policies are formulated. They must delineate procedures and responsibilities that are acceptable to all agencies involved. The ICC is just beginning to develop such policies; the process began when they paused in their deliberations about client population to address issues related to single agency boundaries and decision-making processes. The use of a group facilitator to support this process will enhance the probability of establishing supportive relational policies.

At this point in time, we would characterize the interagency policies of this ICC as coordinative inasmuch as attention has been devoted to the formulation of management policies, and a focus on policies that define interagency relationships has been initiated. It is important to understand that

successful accomplishment of the Part H collaborative interagency objective will require that the ICC establish a collaborative policy framework for its activities.

Interagency Structure

At this point in time, the interagency structure for the ICC is not complex. Interagency planning is being accomplished by the ICC which is an appointed committee, subject to the approval of the lead agency. Single agencies view Part H as a major initiative and have decided that the interagency dimensions of the evolving Part H service delivery system are best designed in consultation with all involved agencies and providers. They have formally recognized the ICC as the vehicle through which this interagency planning and action will take place.

In addition, no staff have been assigned directly to the ICC to assist with accomplishment of its work. Rather, Part H program staff have been serving in this role. There are times, however, when program staff have felt that their responsibilities to the lead agency were not congruent with this ICC staff role. This was evident in the Education agency director's instruction to program staff not to make any changes in the definition of the targeted population. Structurally, the absence of staff assigned directly to an interagency unit attempting to accomplish a collaborative objective inhibits the unit's capacity to accomplish its work efficiently. Thus, the ICC is best characterized as coordinative in terms of its complexity, degree of formalization and staffing patterns --three of the four features associated with interagency structures in the analytical framework.

The factor that prevents us from characterizing the structure of the ICC as being collaborative is the fact that policy authority has not been assigned to the interagency unit. According to P.L. 99-457, the ICC serves in an advisory

role to the Lead Agency. This relationship between the ICC and lead agency is followed in this state. Operationally, there is some concern among ICC members as to whether the ICC needs to function as a policy body. They are unsure that the Part H initiative can be successfully accomplished in this state if the ICC remains in an advisory role. Although the legislation established it as an advisory body to the Lead Agency, the ICC's stipulated responsibility also includes:

> "Subject to the approval of the Governor, the Council may prepare and approve a budget using funds under this part to hire staff, and obtain the services of professional, technical and clerical personnel as may be necessary to carry out its functions under this part" (P.L. 99-457, Part H, Section 682, [d]).

In effect, there is nothing that precludes the lead agency from demonstrating a willingness to accept ICC decisions and establish these decisions as policy. This willingness on the part of the lead agency would be viewed as the norm, with the understanding that ICC decisions would not be rejected unless there was some compelling reason; then they would be returned to the ICC for further discussion. In a sense, the lead agency may make a conscious decision to allow the ICC to have de facto policy authority. In this way, ICC members are more likely to perceive the extent of their influence, thereby enhancing their sense of ownership of the Part H initiative. Unless the ICC functions in a policy role, the motivation and ability of Council members to operate collaboratively are likely to be impaired.

Given the lack of shared policy authority between the ICC and the Lead Agency, we would characterize the interagency structure of the ICC as coordinative [despite the fact that a collaborative interagency objective has been articulated].

Resources

The Lead Agency has a budget which is comprised of federal planning grant monies and state support. While not obtained from the separate agencies (as is characteristic of collaborative interagency arrangements), these monies have the potential to serve as a resource pool for use by the interagency unit. At the present time, these funds are controlled by the Department of Education rather than by the Interagency Coordinating Council. When resources that support an interagency effort belong to the new interagency unit (i.e., the ICC) and are viewed as a collective resource bank, collaboration is more likely to occur.

At the present time, use of resources by the ICC corresponds to the ways that resources are allocated in coordinative interagency arrangements. Each of the involved agencies has dedicated a portion of their annual budgets to the Part H enterprise, and there has been limited discussion about how to ascertain the "fair share" of each involved party. Agencies have indicated a desire to oversee how their contributions are being used and they expect to receive direct benefits as a result of their investments.

The location of, and responsibility for Part H funds (federal, state and local) has emerged as an area of contention as implementation of P.L. 99-457 progresses. The extent to which this is viewed as a problem depends upon the emergent roles of the lead agency, the ICC and the Project staff. It also depends on the nature of interactions with the single involved agencies and the extent to which these agencies believe that they have influenced the process. Viewing these funds as a "resource pool" subject to ICC control (within the framework, of course, of state policies and regulations governing disbursements)

will provide an incentive to collaboration and consensus-building within the interagency unit.

Finally, interagency planners must be concerned with the ways in which resources are allocated to support the Part H service delivery system. Specific procedures must be delineated that define how resources will be contributed to the interagency effort as well as how they will be allocated to support the Part H initiative. A key part of collaborative interagency planning is that involved agencies come to agreement about acceptable procedures for allocating interagency resources. At this point in time, the frequency of resource contributions to the ICC as well as the source of funds and issues related to control of spending --the three features of resource allocation in the analytical framework-- are characterized as coordinative.

Loyalty

By and large, ICC members continue to demonstrate primary loyalty to their home agencies. Personnel and agencies are not yet satisfied that their home agency interests are protected in the ICC environment. If interagency policies that define such relationships were in place, we would most likely see some changes in these behaviors. Efforts by the ICC to expand activities which will promote additional mutual influence and consensus-building are continuing. Nevertheless, personnel involved with the ICC have demonstrated a professional commitment to the development of the early intervention service delivery system. Thus, where they believe it possible, they will also demonstrate loyalty to the interagency enterprise as they fulfill responsibilities associated with their positions on the ICC.

Indeed, the extent to which loyalty to the interagency effort develops is, in large part, a function of the amount of influence Council members have on

final decisions about interagency plans and activities; the amount of influence that the Council has will depend upon the role the ICC is given with respect to development of those plans. At this point in time, we would characterize loyalty issues in the ICC as coordinative.

Establishing Agreements

The success of collaborative interagency efforts is often determined by the capacity of the collective unit to establish acceptable boundaries for the interagency effort. As a result of the experience with expanding the definition of the client population, care is now being taken by the ICC to define procedures that will be used when individual agency prerogatives are challenged and/or when the turf of the interagency unit is threatened by single involved agencies. In the best of all possible worlds, such procedures need to be put into place prior to the time that disputes arise. These issues are addressed in the process of defining interagency boundaries. However, it is not too late for the ICC to develop acceptable procedures for examining boundary definition issues when they occur in the Part H planning process. When these procedures are in place, attempts to collaborate will be enhanced.

While the ICC has representatives from all the major agencies, it also includes members from agencies outside state government and parents. The presence of these individuals provides some balance and can serve to diminish the impact of individual agency concerns. Whether or not the needs of the interagency unit will be considered as important as single agency needs in the interagency decision making process will become clear only after a number of issues which involve individual agency prerogatives have been handled over a period of time. In order for interagency needs to be viewed as primary, as is the case in collaborative interagency efforts, Council members will have to look

beyond short-term individual agency interests and accept what seems reasonable or fair in the long-term. As one ICC member noted, "some changes in agency orientations will have to occur."

Upon completion of the special meeting that was called to address issues related to expanding the definition of the target population, ICC members decided to schedule periodic meetings that would be devoted solely to examining the use of power in resolving interagency "turf" issues. They will need to develop procedures that the interagency unit will use to resolve disputes similar to the expansion of the target population problem. Policies that define relationships between the ICC and the lead agency need to be developed. Further consideration of ways to accommodate the needs of single agencies as a part of the interagency effort also needs to occur. The next special meeting is scheduled in eight weeks. This is a positive step towards moving from existing coordinative boundary definitions to procedures that more adequately support the collaborative Part H interagency objective

Decision-Making

Interagency unit decisions are being made by the ICC. Interviews indicate that there is extensive commitment to the interagency objective and that the Part H Program staff and ICC members have undertaken responsibility for clarifying issues and facilitating the decision-making process. As planning for implementation of P.L. 99-457 progresses, the amount of information-sharing within the ICC and between the individual agencies has been extensive. To date, this information-sharing has included frequent interactions about future plans; collective consideration of implications of federal Part H policies; and determination of appropriate local structures for Part H service delivery. In

addition, the ICC has energetically shared information with local planners about its progress.

Five regional committees have been established that meet every two months; they serve as geographically accessible vehicles through which State and local planners have opportunities to share information with each other. The chairperson of each of these regional committees serves as an ex officio member of the ICC and provides that interagency group with reports of their respective committees' activities. In effect, the need to maintain open communication channels between state and local planners has been recognized by the ICC in this state.

In collaborative interagency efforts, decision-making is accomplished through the building of consensus among all involved parties. The term "consensus," as used in the context of interagency planning and actions, is defined as reaching overall agreement about the long-term interagency objective by all involved parties. At that point, every effort is made to achieve agreement about strategies and tactics for accomplishing the objective. In collaborative situations, agencies are more likely to compromise about suitable means to accomplish the long-term interagency objective in order to support their commitment to the larger effort. There are a number of important factors that relate to the development of an effective consensus-building process in a collaborative interagency arrangement. As indicated above, early decisions need to be made about what will remain the prerogatives of single Departments and what will be the legitimate concerns of the interagency unit. In addition, member agencies need to decide what will be appropriate agency contributions to the interagency effort and what procedures will be established to ensure that member agencies receive their fair share of the benefits.

Achievement of these needs will foster the development of trust between the collaborative unit and the individual agencies, as well as among the individual agencies. Involved parties need to believe that they have influence in the interagency planning process, that they are listened to and they will get something out of their involvement. When agencies see these things happening, they are more likely to trust each other and therefore to invest in the interagency enterprise. The development of trust is a necessary activity in establishing and maintaining successful collaborative interagency efforts. At the present time, the ICC is attempting to resolve major issues through development of consensus. This process appears to have worked well with regard to those issues that do not directly involve existing single agency responsibilities, including developing "at-risk" definitions. For those decisions that require movement toward greater agency interdependence and/or primary attention to interagency concerns, there appear to be some indications that the trust levels which are required for collaboration are not fully developed.

Building the trust within the interagency unit necessary for consensus to occur is a time-consuming and difficult task. Like most difficult tasks, the effort is perceived as worthwhile only if there is some reward, in this case ICC influence over Part H policy and implementation decisions; and this influence can occur with certainty only if the ICC's role is enhanced and strengthened. This is so because the ICC is the primary vehicle through which single agencies can influence the interagency effort. Without such action, representatives of the single agencies may chose to resort to the use of voting and "majority rule" decision-making processes, as is characteristic of coordinative interagency efforts. This process was unacceptable to ICC members when proposed for resolving disagreements about re-defining the target population. In effect, the

ICC will need to devote time and energy to establishing agreed-upon procedures for building trust relationships at the same time that it is addressing programmatic concerns. Such investment of time in the development of trust, which is a precursor to resolving agency disagreements, is an important discriminator of successful collaborative interagency efforts.

During the first two years of Part H planning, the ICC established procedures that led to coordinative interagency relationships. As indications arose that such relationships were necessary but not sufficient for successful accomplishment of the Part H interagency objective, the ICC organized some activities that are likely to lead to the development of more collaborative interagency relationships. At this point in time, we would characterize decision-making processes in the ICC as coordinative bordering on collaborative.

Personnel Roles

At this point in time, the ICC is engaged in planning activities stipulated in the legislation. Staff currently supporting the work of the ICC are employees of the Education Department assigned to the federal project. This condition suggests that a primary issue that will arise with regard to interagency personnel roles is the relationship between the staff assigned to the Part H project and the Interagency Coordinating Council. To the extent that the project director and her staff are viewed as employees of the lead agency, and concomitantly as not being substantially influenced by the views of the ICC, members of the Council will begin to question their role and impact in the interagency effort. It can also be expected that under such conditions these agency representatives will be under increasing pressure within their home organizations to protect single agency interests and areas of responsibility.

The primary functions of Part H program staff involved with the ICC are defined according to the set of objectives that they perceive themselves as carrying out. If they perceive their role as that of carrying out the ICC interagency initiative in addition to fulfilling their responsibilities to their home agencies, then their actions will support the need for the ICC to behave as a collaborative interagency unit. On the other hand, if the staff perceives its responsibility to just carry out the Lead Agency's objectives, then their behavior will reduce the possibility that implementation of Part H will take place through collaborative processes. To date, Part H program staff have managed to work effectively on behalf of the ICC as well as on behalf of the Lead Agency. However, there are indicators that this situation may not continue.

In this state, a relatively small and close-knit group of individuals have been involved in most state interagency committees over the past decade. Agency representatives to the ICC are in many cases the same individuals who are now, or have been in the past, members of other state interagency committees. ICC members indicated that "we've been working with this group for a long time" and "the basic thing [about the ICC] is a change in the way we think...[we are] less territorial." These statements suggest that changes in perceptions and behaviors are emerging that might serve to ensure accomplishment of the collaborative interagency objective. The operation of the ICC as a true collaborative unit would provide these individuals (or their designees) with the opportunity to shift their roles and to influence the perceptions of others in important ways. If the ICC does not function as a collaborative unit, these individuals will perceive no alternative other than to resort to agency protective behaviors.

Personnel Roles in this ICC are characterized as collaborative. At this point in time, it appears that these individuals find their roles in the ICC congruent with their home agency roles and responsibilities. As a result of the preceding analysis, the following profile of the Interagency Coordinating Council was developed [see p.20].

PROFILE OF THE INTERAGENCY COORDINATING COUNCIL

Concept	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE			X
POLICIES		X	
STRUCTURE		X	
RESOURCES		X	
LOYALTY		X	
AGREEMENT		X	
DECISION-MAKING			X
PERSONNEL			X

Data related to analysis of the remaining two committees are presented briefly in the interests of keeping this paper at a fairly reasonable length. The brief descriptions provided as well as the committee profiles will be sufficient, we believe, for explaining issues related to the conclusions that are presented at the end of the paper.

INTERAGENCY PLACEMENT COMMITTEE

Mandate: The Interagency Placement Committee was established in 1978 by state statute. The primary function of the IPC has been to approve residential placements and to conduct such other activities as are consistent with that responsibility. These include development of a common funding pool, ensuring that children with handicaps are placed in least restrictive environments, and making initial efforts to provide placement sites in the State for those who are currently being served out-of-state. The present functions of the IPC were mandated initially by P.L. 94-142 and were at one time carried out by the individual Departments acting independently with respect to their clients.

Committee Operations: The IPC is located within the Governor's Office For Handicapped Individuals (OHI). In 1987, the IPC was permanently located within OHI by executive order. It has a director and other appropriate supporting staff. Membership on the Council consists of the director of the Department of Health and Mental Hygiene, the director of the Department of Human Resources, the director of the Department of Education, and the director of the Juvenile Services Administration, or their designees.

A Placement Review Committee (PRC), consisting of members of each of the four units referred to above, meets weekly to review cases and make placement decisions. Each of the participating Departments has an office and personnel to carry out investigative and evaluative activities required before a case is brought to the PRC. The IPC meets monthly to review and establish policies related to residential placement. In addition, unique cases with policy implications are brought to the IPC, as well as all cases where placement was denied. Assignment of responsibility for costs for a specific placement is based

on the extent to which a particular agency is responsible for the placement of and delivery of services to that individual.

Each of the local jurisdictions has established a Local Coordinating Council (LCC), an interagency committee composed of the local counterparts to departments represented on the IPC. These LCCs follow guidelines established by the IPC in making recommendations to the IPC for residential placements for clients in their respective jurisdictions.

ANALYSIS

The Interagency Placement Committee is a successful interagency effort, which continues to fulfill the residential placement decision functions for the state. Involved agencies determined that a moderate amount of interdependence was required to accomplish this objective. Over a period of time, agencies involved with the IPC established coordinative organizational conditions that support the initiative and worked out acceptable procedures for making interagency decisions. All participants expressed satisfaction with the IPC.

In effect, the IPC exhibits the characteristics of a coordinating unit in terms of interagency policies, interagency objectives, resources, loyalty, interagency structure, decision-making and personnel roles. This classification is consistent with the demands of the tasks with which it is confronted and explains the high success rate that the IPC has had over the years. The requirements for a cooperative interagency arrangement would not be adequate for the task of residential placement, and the time and financial requirements of a collaborative interagency effort would be unnecessary.

A profile of the characteristics of the Interagency Placement Coimmittee is presented below.

PROFILE OF THE INTERAGENCY PLACEMENT COUNCIL

CONCEPT	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE		X	
POLICY		X	
STRUCTURE		X	
RESOURCES		X	
LOYALTY		X	
AGREEMENT			X
DECISION-MAKING		X	
PERSONNEL		X	

The IPC carries out functions which at one time were undertaken by individual agencies. Additionally, it was originally created by Executive Order of the Governor rather than by the agencies themselves; thus, the staff of the IPC is supported by the executive arm of the state. It was reported that at this point in time the chief executive officers of the four departments involved accept the need for the IPC as an interagency arrangement to carry out the residential placement function and those activities associated with it. The operation of the IPC simplifies the residential placement function for the agencies, reduces the number of personnel within each Department who would be

required to carry out this function, and provides guidelines for residential placement that are likely to be more consistent than would be the case if each department operated independently to fulfill this function. The services provided by the IPC clearly meet the intermediate and long-term interests of the single departments since this will continue to be an ongoing client need for the indefinite future.

In sum, the IPC exhibits the organizational conditions and interpersonal relationships that are characteristic of successful coordinative interagency efforts.

INTERAGENCY COMMITTEE FOR CHILDREN WITH SPECIAL NEEDS

Mandate: A planning committee was created at the request of the Governor in 1985 as a part of his Children and Youth Initiative. The purpose of the committee was to develop an interagency plan for children with special needs, because such children often require the services of more than one state agency. There was no formal policy statement that authorized the Committee's creation or delineated its responsibilities in a precise manner. The Plan was prepared by five state agencies: [1] the Social Services Department; [2] the Health Department; [3] the Department of Education; [4] the Governor's Office For Children and Youth; and [5] the Interagency Placement Committee. These were the major state units concerned with delivery of services to special needs children and their families at that time.

Operations: The planning committee engaged in a series of activities designed to identify which agencies were operating similar or complementary programs and compiled listings of agencies, personnel and programs that were

addressing similar concerns and/or served similar populations. This cross-agency picture represented the first comprehensive effort in the state to develop such information across the five major agencies that had assigned responsibility for overseeing services to children with disabilities in the State. A large number of staff in each of the individual agencies were involved on task forces created to facilitate IPCC information gathering activities.

The Interagency Plan for Special Needs Children was transmitted to the Governor in January 1986. In accepting the Plan, the Governor emphasized "...his commitment to seeing that the recommendations and tasks set forth in the plan are implemented" (Letter, 1/27/86). Respondents reported that initial activities were energetic, and progress was attributed to the creative and effective leadership of the chair of the first planning committee who in Year Two was appointed as the first ICCSN Chair. No data were reported about the ways in which the ICCSN monitored the implementation of the Plan. However, amendments to that plan are delineated in the March 1987 annual Progress Report. The second progress report of the ICCSN was due to the Governor in Spring of 1988, but to date has not been completed. Respondents reported that no meetings of the ICCSN have been held since November 1987. Those persons who were interviewed and who had attended the most recent ICCSN meetings in Fall 1987, reported that the Committee was handicapped by changes in leadership and by the period of time during which the chair was vacant. These factors contributed to the interruption in ICCSN activities.

ANALYSIS

The ICCSN was a dysfunctional interagency unit. After an energetic start in which a plan for integration of services for children with special needs was developed, the leadership of the committee changed and its purposes became

unclear. Over a period of time, meetings became less frequent and member interest in committee operations diminished. During the third year of operation, the committee ceased to exist as a functioning unit. Interestingly, most individuals involved with the ICCSN were unable to pinpoint the "date of death." A profile of the concitions in the ICCSN is presented below:

PROFILE OF THE ICCSN

CONCEPT	COOPERATION	COORDINATION	COLLABORATION
OBJECTIVE			X
POLICY	X		
STRUCTURE		X	
RESOURCES	X		
LOYALTY		X	
AGREEMENT	X		
DECISION-MAKING		X	
PERSONNEL ROLES		X	

The organizational and interpersonal characteristics of the ICCSN do not correspond to any single type of interagency effort. As can be seen in the

preceding profile follows, member agencies functioned with varying degrees of interdependence for the different features of interagency efforts. The interagency objectives assigned to the ICCSN, especially during the second and subsequent years, were of sufficient complexity to require a collaborative approach. The nature of interagency policies, agreements, and decision making within the ICCSN, however, was characteristic of a cooperative interagency effort. On the other hand, the structure of the interagency unit and the nature of member loyalties were like those necessary for coordination.

It was reported that early progress of the ICCSN was dependent on the charismatic leadership of the first Committee chairperson, making the ICCSN interagency effort person-dependent rather than dependent upon the creation of a viable interagency structure. Indeed, it was feasible that this individual's creativity and energy served as a substitute for the development of an effective interagency unit. Thus, it was not surprising that several of the persons interviewed reported that the work of the ICCSN disintegrated when there was a change in leadership; a viable ongoing interagency structure was required for stability in the Committee's activities.

The lack of financial resources available, or under the control of the interagency unit was most characteristic of cooperative interagency efforts. The net result was that the Committee was being asked to undertake a task which required collaboration, but the conditions in which collaboration could develop did not exist. It is quite likely that this proved very frustrating for ICCSN members.

While the ICCSN did identify priority areas for additional interagency planning, it did not directly address ways in which the Plan would be implemented. No provisions were made for structural and programmatic changes

in the state bureaucracy or in the individual agencies to accommodate interagency initiatives. Even though the Plan did address issues related to single agency budget realignment and assignment of personnel, no budgets were realigned, no personnel were shifted between agencies and no efforts were made to examine ways in which the design of the separate agencies would need to be adjusted in order to implement interagency programs and plans.

CONCLUSIONS

Conclusions that were derived from the findings of this study are presented in this section of this paper.

> **CONCLUSION: Collaboration is not always an appropriate interagency strategy. More often than not either a cooperative or coordinative effort will suffice to accomplish a particular interagency objective.**

Cooperation, coordination and collaboration are all appropriate interagency approaches to accomplishing different kinds of interagency objectives. They represent interorganizational arrangements with increasing amounts of interdependence among the involved single agencies. The broader and more complex the interagency objective, the more agency interdependence required. In the state under study, the IPC functions well using a coordinative strategy, whereas the ICCSN required the use of a collaborative strategy.

As described earlier in this paper, interagency efforts are characterized by the following organizational features: [1] interagency objective; [2] interagency policy; [3] interagency structure; [4] resources; [5] loyalty to the

interagency effort; [6] establishing agreement; [7] decision making; and [8] personnel roles. These features are distinctly different for cooperation, coordination and collaboration.

In effect interagency efforts are not "natural." Agencies are designed to function autonomously and typically devote a great deal of energy to enhancing their agency resources and responsibilities. Working collectively involves making changes in some existing operating procedures in the single agencies. The more interdependent an interagency relationship becomes, the more change will be required. Therefore, collaboration is the most difficult interagency strategy to accomplish and should be used only when the interagency objective requires it.

Establishing collaborative interorganizational arrangements is a real challenge for state governmental agencies. Collaboration must be accomplished in a policy environment that is extremely susceptible to external political influences, and maximally dependent upon legislative decisions about resource allocations. In addition to the implied changes in single agencies' modus operandi, collaboration requires a major commitment of agency resources, as well as of time and energy of agency personnel.

The tendency to view interagency efforts as a panacea for solving major issues which cut across agency domains should be exorcised unless there is a corresponding willingness to devote the necessary time, energy and resources to developing, nurturing and maintaining interagency initiatives [and this is in addition to the time, energy and resources required for direct task/objectives achievement.

CONCLUSION: Successful interagency efforts are dependent on the extent to which planners create organizational conditions and develop interpersonal relationships suitable to accomplish the interagency objectives.

Mandating interagency activities does not in and of itself cause effective integration of services by state agencies. In this study, state agency involvement in the three interagency committees was mandated by legislation and/or executive order. Yet each Committee experienced different degrees of success in integrating services for targeted populations and different problems in addressing interagency issues. For example, the IPC's interagency objective of residential placement is being satisfactorily met using an almost "classic" coordinative interagency arrangement. Council members deliberately structured a number of activities that resulted in creation of those conditions necessary to accomplish the interagency objective. On the other hand, the ICCSN was given a broad mandate of streamlining services for children with special needs; this interagency objective required the development of a collaborative interagency arrangement. However, to date the Committee has not established those organizational conditions that support the accomplishment of its complex objective and the ICCSN has become relatively inactive.

Success levels for each of these interagency efforts can be traced to the extent to which planners created the organizational conditions and interpersonal relationships suitable for the particular interagency objective that was to be accomplished. Establishing written agreements is not sufficient for ensuring interagency planning and actions. Agencies must devote much attention to creating appropriate conditions within which the interagency objective can be

accomplished. At the same time, policy makers must provide adequate resources to support the interagency effort.

Interagency councils, such as the ICC, which are established for planning and implementation of Part H will need to devote considerable energy and attention early on to creating conditions suitable to accomplish the broad mandate. The primary objective of Part H is the implementation of a coordinated multi-disciplinary statewide system of early intervention services for infants and toddlers with handicaps and their families. This interagency objective can only be accomplished by using a collaborative interagency arrangement. In fact, implementation of Part H will require a greater degree of agency interdependence than has typically been present in State interagency activities.

If the interagency initiatives are to be successful, the conditions established within these units must, for the most part, meet the requirements of the objective. To the extent that this is not the case, the probability of failure for the interagency unit is increased. This was clearly the case for the ICCSN. The profile for this unit [which had a collaborative objective] indicated that every condition assessed in the unit was operating at either a cooperative or coordinative level. Lack of focus as to purpose, discomfort with the process and a recognition of lack of meaningful progress all lead to the end of this unit; it was never formally abolished; meetings were simply no longer held and no one discussed it at all.

CONCLUSION: Interagency objectives must be clearly articulated in an objectives statement that includes a description of appropriate supporting conditions for accomplishment of the objective.

It is critical that the objectives of an interagency effort be clearly and explicitly established. A statement of the conditions under which the interagency objective will be accomplished and the expectations held for the individual agencies involved in the interagency effort should be clearly delineated. Unless these actions are taken, there are a number of issues likely to arise which will impede the work of the interagency unit.

This was clearly the case for the ICCSN. Because the explicit objective was never formalized, and because agreements about the interagency conditions and single agency responsibilities were never established, the committee members operated with a number of "hidden agenda." The objective required collaboration, but the members never committed themselves to establishing a collaborative set of conditions.

The ICC, on the other hand, recognized the need for clear articulation of objectives and related conditions. Whether they are to use this statement, adopted by the Council by consensus, as a referent point against which to "test" the adequacy of its policies and procedures, is yet to be determined. The members of the IPC clearly understood their objective, which was explicitly stated in the enabling statute. Although no explicit statement of conditions was ever established for this interagency unit, the members appeared to have an intuitive sense of what was required to satisfy the objective [no more, no less] and behaved in ways that were both internally consistent and appropriate for the objective.

A review of the profile of the IPC makes evident the fact that all but one of the conditions were entirely consistent with the stated objective. It was also evident that this committee was operating relatively well, goals were accomplished, both the staff and the interagency unit members were consciously

focused on immediate objectives and there was relatively little direction from these efforts.

CONCLUSION: Interagency collaboration requires a willingness to deal openly with agency differences in professional orientation.

Health, education and social service agencies at the state level have traditionally had different professional orientations. For the most part, these professional orientations have emerged from [1] the types of client problems dealt with in each of the agencies, [2] the functions they have been asked to assume by the broader society, and [3] the political expectations held for those agencies.

At the risk of over-simplification, the professional orientations for these agencies can be described as follows. Education agencies are concerned with maintenance and containment. Providers have responsibility for the instructional needs of our children and by extension for the maintenance of a literate citizenry. The containment function involves treating those manifest educational "ills" that the local community asserts are desirable to address and those which are required by state and federal legal mandates In this instance, the focus for providers is on dealing with problems that have reached serious dimensions such as inferior competency development and school drop-outs.

Health agencies have responsibility for treatment of presenting health-related problems for targeted client populations. In recent years, they have also adopted an orientation toward prevention of serious maladies; interest has been promoted in the "at risk" population, focusing on symptoms likely to lead

to long-term problems. Whereas education agencies provide services to specific individual clients, health and social service agencies also sponsor family-centered programs and services.

Finally, social service agencies tend to be crisis-oriented, often providing services to clients whose lives and/or social well-being are threatened. Moreover, such agencies also deal with issues that have immediacy, but which have traditionally been under-funded by the public, including homelessness, child abuse and foster care. These differences in agency professional orientations often interfere with their capacities and/or willingness to establish collaborative approaches to service delivery and to establish an integrated community base of service.

The situation described in the case of the ICC might very well reflect these differences. In that instance, the Education agency resisted inclusion of children who are victims of substance abuse in the definition which determines eligibility for services under P.L. 99-457, while the Health agency advocated inclusion of this group. The point to be made here is not that the specifics of the differences in professional orientation are critical; rather, in interagency situations, they need to be identified and openly discussed so that policies and procedures which will enable reconciliation of those differences can be established.

CONCLUSION: There are likely to be differences in ability to collaborate when the units involved in the interagency effort are different or similar in nature.

The interagency committees examined in this study were composed of different types of agencies. As indicated in the discussion of the previous conclusion, the health, education and social services agencies are fundamentally different and personnel in the three types of agencies generally experience training which leads to different orientations towards service provision. In addition, the three agencies' mandates focus on different types of populations. The extent of popular support for the agency mission varies considerably. The extent to which these agencies operate discretionary programs in addition to legally mandated programs is indicative of their respective capacities to generate scarce political resources beyond their legal appropriations.

Given these differences, it is not surprising that they sometimes find it difficult or impossible to collaborate. In most cases, it appears that these behaviors may not even be intentional; rather, there is a tendency not to understand the impact of such differences on the behaviors of agency representatives to the interagency unit. This appeared to be part of the problem which led to the demise of the ICCSN; assumptions were made about commitment to the objective, which appear to be true in a generic sense, without full appreciation of the differing viewpoints about how the objective should be defined.

In another study, reported elsewhere, a group of universities with overlapping functions and programs agreed to establish and support an interagency unit to plan and build a library available to students and faculty from all five institutions. In this case, given the similarity of objectives and mandates among the institutions, there tended to be general agreement about the value and definition of the interagency objectives. They still needed to address issues about cost, design and the relative emphasis on purchases of

materials to support different programmatic areas, but all involved institutions agreed on the desirability of a jointly developed and supported library. In this case, the similarities among the agencies involved in the interagency unit provided a common framework, orientation and objective that facilitated decision-making and conflict resolution.

CONCLUSION: Success with collaborative efforts is more likely when the impetus to collaborate evolves from the affected agencies rather than from external sources.

In state governmental agencies, requirements to collaborate are often externally imposed by the executive branch or by the legislature. Such mandates may also emerge from the federal level. It would appear that when these externally imposed mandates can be carried out with cooperation or coordination [such as was the case for the IPC], they are accomplished relatively successfully. The limited focus of the interagency objective, accompanied by a relatively circumscribed requirement for interagency interaction make it possible for each affected agency to contribute to the objective while protecting its own resources and turf. On the other hand, collaboration requires such extensive agency commitment and willingness to share resources "for the common good" that external mandates are not sufficient, or effective in and of themselves, to motivate extensive agency interdependence.

This was somewhat evident in the case of the ICC. As the nature of the task was defined, agencies began to realize that much more collaborative planning and action were required than what they typically do. On the other hand, the IPC was able to accomplish its collective task within a more

"traditional" interagency framework. Most interagency efforts in this state were coordinative in nature. Therefore, agencies had experiences with the types of conditions that would be needed to support the initiative and they continued to find them acceptable approaches to collective behavior. In this instance, fortunately, they worked.

The ICCSN was initiated by the agencies themselves. This should have provided them with a head start, at least in terms of establishing a willingness to collaborate. However, agency leaders did not establish the conditions necessary to support their interest in collaboration, and the committee just dissolved when its leadership changed. Person-dependency in this committee seems to have obviated willingness to collaborate over time.

CONCLUSION: Collaboration requires a recognition by involved agencies of the value of long-term common objectives as well as a recognition of the primacy of short-term objectives and pressures.

Most agencies view their resources as inadequate; indeed, it may be axiomatic that resources required for any task always exceed the amount available. For governmental agencies, which are dependent on scarce tax dollars, and which are expected to deal with some of the most intractable problems confronting society as a whole, public and political expectations always exceed ability to deliver. This is true whether we are trying to promote the best education for every student, whether we are attempting to deal with AIDS-related problems, or whether we are attempting to place every eligible child in a supportive adoptive family environment.

Within this political environment in which there are never enough dollars or people to deal with daily problems, there is ambivalence about the desirability of investing resources to build collaborative units to engage in activities that may not result in success for a number of years. This is particularly true in political situations where individuals are elected to office on a two-year or four-year cycle. Those elected individuals demand immediate and, preferably "flashy" successes which can be used as basis for future re-election. Moreover, when the heads of the state agencies are also political appointees with allegiance to particular chief executive officers, the tendency to be more concerned with immediate problems is usually over-riding.

This is in direct contrast to, for example, the universities referred to earlier who joined together to plan and build a common library facility. The leaders of those institutions clearly felt the need to be responsive to the concerns of their clients [students], and in many cases to their parents, and were always under pressure to maintain the lowest possible tuitions. However, they did not have to operate within the context of partisan politics and relatively frequent elections. This provided a latitude which enabled them to focus on long-range needs and goals as well as short range problems.

Future Research Directions: Finally, this study is to be viewed as exploratory. Additional research directed toward ascertaining the nature of the interaction between the conditions in these interagency settings is needed. Large scale tests of the model, using a variety of methodological approaches are required to permit refinement of the variables and to assure confidence in the model. Some of this research is already in progress.